

PROCUREMENT

Information provided by:		
OMB Guidance §200.318 General procurement standards		
Does the sub-grantee utilize a price list?		
Explain process:		
Does the sub-grantee perform a cost analysis to determine prices?		
Explain process:		
How often does sub-grantee update the price list?	Annually	

807 CONTRACTOR PROCUREMENT, PRICE LISTS, RESPONSIBLE CONTRACTORS

		Date of last procurement	In compliance
The following procedures must be included in Contractor Procurement and Establishment of a Price List:			
Publicly bid with advertising using newspapers, websites or hard copy and be available for at least three (3) business days. Fair and open competition must be provided.			
If bid packets will be mailed or emailed to existing contractors, a list must be kept of interested contractors.			
The solicitation must include a clear and accurate description of the service or material being procured.			
The process must take place annually. Unless it is written in Agency Policy.			
Deadlines must be established and adhered regarding responses to packets.			

CONTRACTOR COMPLIANCE

Sub-Contractor	not disbarred	Lead Firm Expiration	Contract Dates		Flow Do	Liability insurance	Amount	Pollution Occurrence
			Start	End				
All contractors have been checked for disbarment					Flow Do	Is all insurance current?		
Are all contracts current?								
How is work divided among Contractors?								
Among HVAC contractors the work is typically divided equally unless there is specific equipment that the Energy Auditor is targeting that only one contractor carries. Among shell contractors work is divided up by contractor's capacity.								

How are the costs or fixed prices determined for weatherization materials, services (audits, inspections, etc.)?

INVENTORY

VEHICLES and EQUIPMENT				INVENTORY OF SUPPLIES			
		Acquisitions over \$5000.00 Since last Monitoring	In Compliance	Required info for each item on	In Compliance	NOTES	
Acquisition Date		Bid Specifications		Description			
Description		Solicit Bids		ID #			
ID #		Bid Selection		Date of acquisition			
Funding Source		Request approval from IHCD		Location			
Award #		IHCDA Approval		Cost			
FAIN		Used Appropriately		Funding Source			
Cost				Award #			
Location			Disposal Date				
Who holds the title			Calibration				
Disposal Date							
Equipment:					Supplies:		Materials:

Describe inventory process and who tracks:

		Notes	Date
Is there documentation of the last inventory reconciliation?	No		
This should be done every two years			
How many weatherization vehicles does the agency have?			
Are the vehicles being used for other programs?			
Are any tools or equipment being used for other programs?			

FILE

DOCUMENTING ELIGIBILITY	
IWAP#:	
Name:	1
Address:	
City:	
ZIP	
County:	
Household Income:	
Date of last Application or verification	
Child support	
Is there any zero income (18 plus):	
Income Documentation	
Dwelling Type	
Own/Rent	
Primary Heating Source	
Members in Household	
Date the Final Inspection passed	1/0/1900
Age of APP	0

PG #	REQUIRED FORMS 202	Present	Complete
	EAP/WAP Application:		
	Zero income:		
	Child Support:		
	Client Consent:		
	Mold Notification:		
	Lead Notification:		
	A Citizen Guide to Radon Notification		
	Smoke and CO Notification:		
	Radon informed Consent		
	Was State LIHEAP used?		
	Proof of home ownership for State LIHEAP:		
	How old is the home?	2021	
	Is the home older than 45 years?		
	SHPO, required if older than 45 years		
	Deferral letter		
	Landlord/Rental Agreement:		
	Cover sheet		
	Work Order		
	NEAT/MHEA RUN		
	Final Inspection Form:		
	QCI signed		
	Date passed		
	Heating System Form:		
	Client Education		
	Signature by Auditor		
	Signature by QCI		
	Furnace Sizing Form:		
	BTU heat loss		On bottom of
	inspection		
	BTU of installed furnace		On cover of n
	Moisture & Home Assessment:		
	Relative Humidity		
	Agency Rep on Continued box		
	Client Signature		
	notes		
	notes		
	62.2 run: Audit		
	Final:		
	X above line:		
	Is the cook stove gas?		Look on cover
	Gas cook Stove:		
	DSTO:		
	Signed by crew leader		
	Certificate of Insulation:		
	Signed by crew leader		
	is there insulation on WO?		
	Fuel Swap:		
	Health Screen:		

	FILE	IWAP		
Year Built				
Is the home built prior to 1978				
Area of Living Space				
Gas Utility				
Electric Utility				
Pre-Blower Door				
Post-Blower Door				
Post Continuous ventilation needed				
Attic pre				
Attic Post				
Wall pre				
Wall Post				
LEAD TEST	Result	XRF/SWAB		
Lead Safe Pictures:				
RRP Check list				

WX WORKERS			
	Worker	Not on list	Dates
Auditor:			
Mech 1:			
Mech 2:			
Helper			
Interim Inspector			
Crew leader			
Shell 1			
Shell 2			
shell 3			
QCI:			1/0/1900
All workers are on the cert tab.			0

SUB-GRANTEE COMPLIANCE

	Recognized Certifications
	BPI Quality Control Inspector
	IN Competent Energy Auditor
	Retrofit Installer shell
	Crew Leader Shell
	Retrofit Installer Mechanical
	Mechanical Helper (not a certification)
	BPI's Building Analyst
	In Training

STAFF CERTIFICATION AND LICENSE												
Wx Staff	Hire Date	Lead Risk Inspector	Renovator	Certification held	Expiration Date	OSHA-10 or 30	IN Lead and Mold	62.2	CMR	SMMM	SATT	# of CEU

Employee	Contractor	Hire date	Renovator	Certification held	Date	OSHA-30-10	IN Lead and Mold	62.2	CMR	SMMM	SATT	# of CEU

AGENCY REQUIRED WRITTEN POLICY

Indiana Housing and Community Development Authority, Community Programs Weatherization Policy and Procedures
Manual Updated March 2022

	In Compliance	Appears to abide by policy
305 RENTAL PROCEDURES		
Sub-grantees are required to have and abide by their written policies detailing the terms of the landlord/tenant agreement and any landlord contribution policy the sub-grantee has adopted. Subgrantees are required to develop a written appeals process for dealing with rental units. The process should be available to resolve disputes over raising rent following the weatherization process.		
Documentation supporting monthly rental amount, such as being included in the landlord agreement, a recent cancelled check made payable to the landlord, or the amount included on the landlord affidavit		

807.1 CONTRACTOR PROCUREMENT AND PRICE LISTS		
Whether the sub-grantee chooses to bid out each job or work off of an established price list, subgrantees must establish in their written procedures whether their process for accepting contractors is open year round, once per year or multiple times per year. If each home is individually bid, copies of all bid packets must be included in the client file.		

409 ADMINISTRATION OF FUNDS		
Sub-grantees must maintain and implement written procedures to minimize the time elapsing between the transfer of funds to the sub-grantee and the sub-grantee's issuance of payment to subcontractors for program purposes. Sub-grantees will have a total of forty-five (45) days from the receipt of subcontractor invoice to check issuance for DOE and HHS funded grants.		

301 CLIENT PRIORITIES		
Once eligibility has been determined, the Subgrantee must follow its client priority policy. Each Subgrantee will develop written procedures by which it assigns priority eligible households. In accordance with 10 CFR 440.16, priority must be given in identifying and providing weatherization assistance to households where one or more of the following exist:		
1. High energy usage		
2. High energy burden		
2. Elderly household member(s) (60 years or over)		
3. Disabled household member(s)		
4. Household member(s) under the age of 18		
Has the agencies developed its own policy?		
If yes, Is there approval of the methodology from IHCD?		

DEFERRALS

At any point when a unit is deferred, the client must be provided with written notification of the deferral. The written notice must be in compliance with WPN 17-7 and IHEDA State Plan. A copy of the written notification of deferral to the client must be placed in the client file. The client must also be given a copy of the signed and dated Moisture Assessment form. A copy of this form must also be in the client file. For each deferral issue within the home, there must be a meaningful corresponding photograph of the issue(s) in the client file. The deferral notification to the client must include the instructions for pursuing an appeal to the deferral. This appeal must follow established protocol outlined in the Appeals Procedure section of this manual.

All answers from April 1, 2022 to date	
How many Deferrals?	
How many units are removed from Deferral and put back into production?	
How many jobs are currently in production?	
How many completions? Per Manager	

10% of sub-grantee's deferral rate will be reviewed this year		
Number of deferrals reviewed		In compliance
Was written notification provided? Within 10 days		
Did the notice include the next step for client?		
Time Line?		
Reasons?		
22-7 document when required?		
Pictures in file or on computer?		
Moisture form signed, dated and given to client		
2.4 APPEALS PROCEDURE followed?		
Local Review language in notice?		
State Review language included in notice?		
Proper docs above		

LEAD COMPLIANCE

It is required the Lead Risk Assessor and/or Lead Inspector prepare a compliant report and that a copy of this report be placed in the client file. In the event a contractor is completing work in this home, the contractor must also be forwarded a copy of the Lead Inspector and/or Lead Risk Assessor report. In the event that weatherization professionals are working in the unit and they are required to disturb an area of the unit which has not been tested by the Lead Risk Assessor and/or Lead Inspector, a RRP Certified Lead Renovator may utilize an EPA approved lead test kit (<https://www.epa.gov/lead/lead-test-kits>) to determine if lead is present in the area to be disturbed. All Lead Inspectors, Lead Risk Assessors, and RRP Certified Lead Renovators must follow all regulations, guidelines, and laws set forth for their particular certification. At a minimum, IHCDCA requires the following information for a lead risk assessor/lead inspector report:

Lead Firm Expiration for Wx program	
Does the Agency have pollution occurrence insurance?	
Does it include Lead and mold?	
How Many XRFs does the program have	
Last resource date	
Last leak test date	

Sub-grantee to provide at least 1 positive lead sample of a unit lead test and client notification

Property Address:	
Year of Unit	
Lead Risk Assessor/Inspector	
license number	
expiration date	
The instrument used for lead testing	
Serial number of the instrument	
Description of areas tested	
XRF report	
Client notified of results	
Contractor given the report	

WE CARE ABOUT LEAD

In addition to DOE, EPA, and SWS requirements, IHCDCA has established additional protocol which include safety with regard to the EPA's de minimus level of interior and exterior surfaces; and also IHCDCA no longer allows sub-grantees to assume the presence of lead based paint. IHCDCA addresses de minimus surface area through the "We Care About Lead" policy. The purpose of this policy is to ensure the utmost safety of weatherization professionals and occupants of Indiana Weatherization households. Testing is required. "Assuming" lead based paints is no longer allowed.

Sub-grantee to provide at least one sample of the safety protocol IHCDCA "We Care About Lead" policy is being followed	
Did the weatherization company have a valid Lead Film status?	
An EPA approved Certified Renovator (RRP) was present during lead safe setup?	

When lead paint falls within the EPA de minimus guidelines, the agency must follow the IHCDCA's "We Care About Lead" policy as listed

- Conduct set up
- Wet the area of paint being disturbed
- Limit access to the area where paint is being disturbed
- Ensure that all appropriate personal protective equipment is used
- Conduct necessary work
- Ensure proper disposal of trash and material, taken away from the job site
- Provide photo of proof of using wet methods and correct set up.

Client: 1

FILE

		INVOICES							
PG #	Workers Listed	Received Date	Paid Date	Days paid	allowed	Contractor	Labor	Material	Total
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
				0					-
Totals									-

Average Days	0
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NEAT MATH	
Cumulative SIR	
Total cost of ECM	-
ECM cost on NEAT/MHEA	
Total IRM cost on NEAT	
Is it in consecutive order?	
Are all measures performed, on the audit?	
Is the Actual cost within reason of the audit cost?	

Contractor	Labor	Material
Total		
0	0	0

Contractor	Labor	Material
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IWAP										
DOE BASE			DOE H&S			LIHEAP			Other	Other
BASE Labor	BASE Material	BASE Overhead	H&S Labor	H&S Material	H&S Overhead	LIHEAP Labor	LIHEAP Material	LIHEAP Overhead	Name	Name
-	-	-	-	-	-	-	-	-		-
Total Completion Cost		-								
Total H & S		-								
Total DOE Cost		-								
Total LIHEAP cost		-								

CURRENT YEAR BUDGETS

DOE	Agreement		4/1/2021	Date of Monitoring	8/18/2021						
Effective Date	Expiration		Award Amount	ADMIN	Liability Insurance	Fiscal Audit	BASE	H&S	Training Stipend	# of Completions	Average cost
On Contract	3/31/2022		0							0	
Expended to Date			0								
Percent Complete											
Production time left	7.50	Months	Approximate # of completions needed per month			0.00	completi ns still needed			0	

LIHEAP	Agreement		10/1/2020								
Effective Date	Expiration		Award Amount	ADMIN	Liability Insurance	Supplies	Equipment	BASE	Mechanical	Capital	
	9/30/2021		0								
Expended to Date			0								
									0	0	# of Completions
											Average cost
											# of Completions
											Current Average
Percent Complete											
Production time left	1.43	Months	Approximate # of completions needed per						0	0	

0

CARRY OVER LIHEAP	Agreement		10/1/2020							
Effective Date	Expiration		Award Amount	ADMIN	Liability Insurance				Mechanical	Capital
10/1/2020	9/30/2021		0							
Expended to Date			0							

CARRY OVER DOE	Agreement		4/1/2021	Date of Monitoring	7/28/2021						
Effective Date	Expiration		Award Amount	ADMIN	Liability Insurance	Fiscal Audit	BASE	H&S	Training Stipend	# of Completions	Average cost
On Contract	3/31/2022		0								
Expended to Date			0								
Percent Complete											
Production time left	8.20	Months	completions needed per month			0.00	completi ns still			0	